

COMPLIANCE



STATEWIDE SECURITIES CONFERENCE

October 17, 2019

Radisson Hotel
Harrisburg/Hershey

★ ★ ★
**Earn
Continuing
Education
Credits**

The PA Department of Banking and Securities is hosting a conference designed to keep investment professionals and their firms up-to-date on changes to federal and state securities laws and regulations.

Seats are limited. Register by October 3, 2019 to reserve your spot at the conference.

Information and Registration email: compliance2019@pa.gov



Luncheon Keynote Speaker

Jane Norberg

Chief - Office of the Whistleblower – SEC

Jane Norberg will provide an overview of the SEC's whistleblower program which was established with the passage of The Dodd-Frank Act in 2010. She will share the program highlights, including the amount of tips received, number of awards paid, and the strengthened confidentiality and retaliation protections.

Session Topics

What to Expect from an Investment Adviser Exam

Glenn R. Skreppen – *Director, Bureau of Securities Compliance and Examinations, PA Department of Banking and Securities*

Joseph M. Zibelman – *Chief, Eastern Region, Bureau of Securities Compliance and Examinations, PA Department of Banking and Securities*

During this session, state regulators will describe steps you can take to prepare for an Investment Adviser Exam, as well as what you can expect during an exam. Discussion will include topics that are of a heightened alert to securities examiners. This presentation is designed to help firms understand regulatory and exam issues to help ensure that they are operating in compliance with Pennsylvania law. You will leave this discussion with the ability to better assess your regulatory compliance strengths and weaknesses.

Enforcement and Regulatory Update

Stefanie J. Hamilton – *Deputy Chief Counsel, PA Department of Banking and Securities*

This session will provide a comprehensive review of recent department enforcement actions and significant case law, and the session will also address how those in the industry can avoid violating the Pennsylvania Securities Act of 1972. Furthermore, this session will give a brief overview of applicable regulatory updates impacting broker-dealers and investment advisers.

Technology and Regulation, “Some Observations About Trends and Changes”

Jake van der Laan – *Director of Enforcement, New Brunswick Financial and Consumer Services Commission*

This presentation will address latest trends and changes technology has and will bring to the financial industry. Among the many topics that Jake van der Laan will present are:

- Trends and changes in technology in the financial industry
- Artificial intelligence and its role in finance and regulation
- Cryptocurrency, other digital assets, ICOs, and blockchain technology
- Massive explosion of smart phones, mobile computing, and social media

Due Diligence for Alternative Products

James Klutinyot – *Chief, Western Region, Bureau of Securities Compliance and Examinations, PA Department of Banking and Securities*

Amber Nicklow – *Chief, Central Region, Bureau of Securities Compliance and Examinations, PA Department of Banking and Securities*

Bill Bell – *District Director, Sales Practice, FINRA Philadelphia District Office*

In an ever-changing market, the regulatory industry continues to experience an expansion of the offer and recommendation of alternative or non-conventional securities to the customers and clients of registered entities. Whether this expansion can be attributed to recent economic or legislative changes, there are important considerations that should be made by registrants prior to offering or recommending such alternative or non-conventional products. This presentation will focus on the six specific areas of these considerations in detail.

Anti-Money Laundering, Financial Crimes, and Fraud Trends

Parker H. Still – *Supervisory Special Agent, Money Laundering, Forfeiture & Bank Fraud Unit, Federal Bureau of Investigation*

Supervisory Special Agent Parker Still is currently assigned to the Money Laundering, Forfeiture and Bank Fraud Unit at FBI Headquarters. Prior to this assignment, SSA Still was assigned to a white-collar crime squad in the Knoxville Field Office of the FBI. Among his assignments on this squad, SSA Still was the lead case agent on an approximately \$300 million corporate fraud investigation impacting approximately 39 states. SSA Still also recently had a large-scale investment fraud case featured by CBS on a prime-time television show.

Supervisory Special Agent Parker Still will be presenting on anti-money laundering, financial crimes, and trends along with providing a case presentation on *United States v. Randall Beane*. The case presentation will examine a factual scenario from the time of the crime through trial incorporating many trends and issues facing the financial industry and law enforcement.

SeniorSafe: Preventing Financial Exploitation of the Elderly

Christina Kotsalos – *Director, Investor Education & Consumer Outreach, PA Department of Banking and Securities*

Denise Getgen – *Director, Protective Services Office, PA Department of Aging*

Yvette Panetta – *District Director, Sales Practice, FINRA Boca Raton District Office*

Sadly, we know that senior investors are often targets of financial fraud, scams, and exploitation; in part, because they own tangible assets including homes and pension streams that are attractive to scam artists. We must identify those who are best positioned to identify red flags early on and encourage reporting to appropriate state and federal agencies, including state securities regulators and Adult Protective Services. SeniorSafe was created in partnership with the North American Securities Administrators Association (NASAA) in order to train financial professionals on recognizing the red flags of exploitation, and give them guidance on how to report their concerns. This approach aims to increase identification and reporting of suspected cases of elder financial exploitation.

Schedule



October 17, 2019 • 7 AM - 5 PM

- 7:00 AM - 8:00 AM Registration and Breakfast
- 8:00 AM - 8:15 AM Opening Remarks
- 8:15 AM - 9:15 AM Technology and Regulation
- 9:15 AM - 10:15 AM Enforcement and Regulatory Update
- 10:15 AM - 10:30 AM Break
- 10:30 AM - 11:30 AM Due Diligence for Alternative Products
- 11:45 AM - 1:15 PM Lunch and Keynote Presentation
- 1:30 PM - 2:30 PM Anti-Money Laundering, Financial Crimes and Fraud Trends
- 2:30 PM - 3:30 PM SeniorSafe Presentation
- 3:30 PM - 3:45 PM Break
- 3:45 PM - 4:45 PM What to Expect from an Investment Adviser Exam
- 4:45 PM - 5:00 PM Closing Remarks



Registration

Conference Rate: \$200 per person

On-line Registration can be accessed at: www.dobs.pa.gov
Forms may also be downloaded and mailed with check made payable to the Commonwealth of PA. **Seats are limited. Register by October 3, 2019 to reserve your spot.**

Hotel Information

Radisson Hotel Harrisburg/Hershey

1150 Camp Hill Bypass, Camp Hill, PA 17011 • 717.763.7117
www.radisson.com/camphillpa



Please identify yourself as a Compliance 2019 participant. For overnight accommodations, we have secured a limited number of guest rooms for program attendees at the rate of \$94.00 plus tax. Rate is available for three days before/after event.

Reservations must be booked by September 15, 2019 in order to receive our special group rate. For a direct link to the Compliance 2019 hotel reservation, go to:
www.radisson.com/reservation/ (Enter DoBS Promo code: PADBS)